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Dated: May 29, 2001

By: Allis Brown  
Signature of Person Depositing as First-Class Mail

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE PATENT

Applicant(s):	Patnode, et al.	Atty Docket No.:	10655.9500
Serial No.:	09/712,743	Conf. No.:	9259
Filed:	November 14, 2000	Group Art Unit:	To Be Assigned
		Examiner:	To Be Assigned
TITLE:	SYSTEM AND METHOD FOR CREATING FINANCIAL ADVICE APPLICATIONS		

### INFORMATION DISCLOSURE STATEMENT

Commissioner For Patents  
Washington, D.C. 20231-0001

Honorable Commissioner:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants reserve the right to dispute any of the listed documents as prior art during examination. Further, Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. Furthermore, the submission of

1. [ x ] For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
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2. [ ] Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior [ ] Continuation, [ ] Divisional or [ ] Continuation-In-Part application under 37 C.F.R. §1.60, U.S. Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

3. [ x ] No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

- [ ] 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.
- [ ] 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application.
- [ x ] 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits.

4. [ ] No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 3 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below.

5. [ ] A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 3 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

- [ ] A check in the amount of \$180.00 is enclosed in payment of the fee.
- [ ] Charge the fee to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

6. [ ] A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
  - a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below; and
  - b. the attached petition requesting consideration of this Information Disclosure Statement; and
  - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 9 below.
7. [ ] A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
  - a. [ ] 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
  - b. [ ] 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
  - c. The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 9 below.
8. [ ] I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.  
[ x ] I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
9. [ ] A check in the amount of \$180.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(p).

Serial No. 09/712,743  
Docket No. 10655.9500

- Charge the fee due under 37 C.F.R. §1.17(i)(1) to Deposit Account No. 19-2814.  
A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- The Assistant Commissioner is hereby authorized to charge any additional fees  
which may be required for this Information Disclosure Statement, or credit any  
overpayment to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS  
SHEET IS ATTACHED.

Respectfully submitted,

Snell & Wilmer



Randee S. Schwartz  
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Dated: May 29, 2001

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Attn: Intellectual Property Dept.

THE U.S. PATENT AND TRADEMARK OFFICE OFFICIAL MAIL  
ROOM STAMP AFFIXED HERETO ACKNOWLEDGES RECEIPT OF  
THE ITEMS CHECKED BELOW:

Serial No.: <u>09/712,743</u>	Applicant: <u>PATNODE, ET AL.</u>
Filing Date: <u>11/14/2001</u>	Title/Mark: <u>SYSTEM AND METHOD FOR CREATING FINANCIAL ADVICE APPLICATIONS</u>
<p>[ ... ] Patent Application      Pages in Spec <u>     </u> No of Claims [ ... ] Drawing Sheets: <u>     </u> (F) <u>     </u> (INF.) [ ... ] Check \$ <u>     </u> No.: <u>     </u></p>	
<p>[ ... ] Power of Attorney [ ... ] Extension of Time (duplicate) [ ... ] Preliminary Amendment [ ... ] Amendment [ ... ] Amendment after FINAL Rejection [ ... ] Issue Fee (Base and/or Balance) [ ... ] Small Entity Certificate [ ... ] Assignment, Coversheet and Fee [ ... ] Trademark Application</p>	
<p><u>X</u> <u>INFORMATION DISCLOSURE STATEMENT</u></p>	
<p>[X] Marked items placed in First Class Mail on <u>MAY 29 2001</u> [ ... ] Marked items filed via Express Mail No. <u>     </u> on <u>     </u></p>	

S&W Docket No.: 10655.9500 Atty: RSS/afb